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Total Number of Pages in This Submission

8

Application Number

09/923,035

Filing Date

August 6, 2001

First Named Inventor

John Nafeh

Art Unit

3692

Examiner Name

Elda G. Milef

Attorney Docket Number

PA3817US

ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☒

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐

Reply to Missing Parts/
Incomplete Application

☐

Reply to Missing Parts
under 37 CFR 1.52 or 1.53

☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐

Petition to Convert to a
Provisional Application

☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

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CD, Number of CD(s) _____

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Landscape Table on CD

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After Allowance Communication to TC

☐

Appeal Communication to Board
of Appeals and Interferences

☐

Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

☐

Proprietary Information

☐

Status Letter

☒

Other Enclosure(s) (please identify
below):

1. Confirmation Postcard;
2. PTO/SB/08 (2 pgs); and
3. Non-Patent Literature Reference (3pgs).

Remarks

Total page number does not include postcard.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Carr & Ferrell LLP

Cust. No. 22830

Signature

K. Brian Bathurst

Printed name

K. Brian Bathurst

Date

January 2, 2009

Reg. No.

51,442

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IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): John Nafeh et al.
APPLICATION NO.: 09/923,035
FILED: August 6, 2001
TITLE: Methods and Apparatus for Formulation, Initial Public or Private
Offering, and Secondary Market Trading of Risk Management
Contracts
EXAMINER: Elda G. Milef
GROUP ART UNIT: 3692
ATTY.DKT.NO.: PA3817US

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INFORMATION DISCLOSURE STATEMENT
Under 37 C.F.R. § 1.56, and 1.97-1.98
& Statement Under 37 C.F.R. § 1.97(e)(2)

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08, listing several references. The Examiner is requested to make these references of official record in the application.

The references cited may be material to examination of the application and are submitted in compliance with Applicants' duty of disclosure as defined by 37 C.F.R. § 1.56. No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicants hereby declare, pursuant to 37 C.F.R. § 1.97(e)(2), that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after having made a reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

Applicants believe no fee is due with this submission. If a fee is due, however, the Commissioner is hereby authorized to charge any necessary fee to Account Number 06-0600.

Respectfully submitted,
John Nafeh et al.

January 2, 2009

By: 

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